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ABSTRACT

Management planning is a body of concepts and techniques designed to facilitate the analytical and forecasting processes within a department, to increase the decision-making prerogatives of the department director within predetermined guidelines, and to encourage and reinforce communication both among the departments and between the departments and the faculties. Management planning was introduced at Harvard University as part of a comprehensive change in style of administration. The applications of the policies and procedures to the departments is predicated on an ability to identify objectives for each department, to track progress toward stated goals, and to evaluate relative achievements. The report details the Administrative Management Plan devised by Harvard and includes discussion of the preparation for the Plan, the narrative and financial elements of the Plan, the procedures followed in negotiating the departmental plans and the five-year vice presidential plan. During both the planning and implementation phases of the Plan continuing communication channels were developed for exchange of ideas that foster increased flexibility and adaptability of the system. (Author/JMF)

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MANAGEMENT PLANNING: INNOVATION ON CAMPUS

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THE ADMINISTRATIVE SERVICE departments of colleges and universities have commonly evolved without particular attention paid to assessments of past performance, current role, or capability to deal with the changing requirements of a growing institution. As is true in segments of many organizations, the greatest emphasis is given to daily operation and little if any energy is expended in analysis of function and projection of goals for performance.

At Harvard University, changing expectations were met or dealt with as they arose in as satisfactory a manner as was possible, but little was done historically to anticipate such changes and to prepare functionally to handle them. Communications among the departments and the several faculties served were also a problem insofar as they were at best casual and in some instances nonexistent. This lack of communication fostered a misunderstanding if not a mistrust between the departments and the faculties, and seriously hindered the ability of the departments to respond effectively to new demands. Management Planning is a body of concepts and techniques which is designed to facilitate the analytical and forecasting processes within a department, to increase the decision-making prerogatives of the department director within predetermined guidelines, and to encourage and reinforce communication both among the departments and between the departments and the faculties.

The introduction of Management Planning into the administrative service departments of Harvard University was an integral part of the comprehensive change in style of administration signaled by the presidency of Derek Bok. His alteration of the vice presidential configuration of Harvard, defining the areas of responsibility as administration, finance, government and community affairs, and alumni and development, provided clear foci which had not been previously established. The ten departments of the university responsible to the vice president for administration were perhaps more an historical aggregate than a logical association of functions. However, each in its own way (with the exception of the university press), is a vendor of goods and/or services to a single consumer, the Harvard community. Although their functions differ, the application of Management Planning policies and procedures to the departments is uniformly predicated on an ability to identify objectives for each department, to track progress toward stated goals, and to evaluate relative achievements.

Establishing a Climate for Change

The theories and practices of Management Planning initially were regarded with something less than overwhelming enthusiasm by the directors and staffs of the ten departments. Predictably, the scepticism was directed primarily toward the imposition of new procedures on the operations. The daily function was of paramount importance, and Management Planning represented a series of tasks extraneous to normal operation which only increased the work load. In a larger context, the planning process was regarded as a raft of systems and procedures wholly inapplicable to the workings of the university. Generating enthusiasm for the planning process took considerable time and effort. The climate of opinion was long in shifting from antagonism through reluctant cooperation to active participation. In a limited number of cases the reluctance remains, but by and large the directors have seen the value of the planning process to their departments

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and to themselves and now take a positive role. The attitude of the directors is crucial to the success of Management Planning as its principal objective is the creation of an atmosphere conducive to innovation. This climate can only be brought about through the efforts of key management personnel. Although Management Planning was initially imposed on an existing structure, its vitality derives from the continuing strength of participation on all levels within the organization.

The departments of Harvard University currently involved in Management Planning are: buildings and grounds, faculty club, food services, personnel, planning, police, press, printing, purchasing and real estate. With the exception of the personnel and planning offices, each generates income on the basis of goods and services provided. Total budgeted income for 1973-74 is $40.9 million; total budgeted expenses for this period are $44.3 million. Manpower in these departments, in terms of full-time-equivalent employees, totals 1,982 for the budget year. Clearly optimum management and operation of these departments is a major concern of the university in terms of fiscal impact and employee numbers. The value of these ten departments to the university resides in the consistent quality of the services rendered at competitive cost. The achievement of this broad objective is possible only through sound and comprehensive management. Cooperation in working toward that goal must be a reality throughout the organization.

Preparing an Administrative Management Plan

The most readily identifiable facets of Management Planning are the preparation and publication of the *Administrative Management Plan*. The first volume of this plan was prepared for a five year period commencing with fiscal year 1972-73. Volume II was published early in 1973 covering fiscal years 1973-74 through 1977-78. The plan is a comprehensive document outlining and detailing the projected operations of each of the ten departments for the standard five-year period. Within the five-year scheme, particular emphasis is placed upon projections for the budget year, or Plan Year I, Plan Year II and Plan Year V. Plan Years III and IV are integral to the Plan Year V forecast of activities but need not be detailed individually. The elements of the *Administrative Management Plan* are standard for all departments; however, the structure is sufficiently flexible to provide for an accurate representation of disparate functions. The *Administrative Management Plan* is a formidable publication by virtue of its size alone; however, it is a misinterpretation of the planning process to regard the written plan as an end in itself. The significance and value of the plan are the thought, preparation, and negotiation which precede its publication. It is an articulation of a number of aspects of the planning process.

The written plan for each department is divided into two basic portions, the narrative and the financial. Elements of the narrative are: Mission, Scope of Departmental Activities, Assumptions, Future Impacts, Objectives, The Year in Review and Summation. The financial portion includes exhibits which detail monthly and annual budgets as well as graphic representations of staffing, affirmative action programs and milestone programs. In addition, each department has the option to include special exhibits pertaining to its activities which would not ordinarily be outlined in the standard elements. This is another opportunity for directors to particularize their departmental plans.

The narrative and financial portions of the plans serve a common function in that the narrative is a series of fundamental statements of the circumstances which determine the financial forecasts. Details of each may be isolated for purposes of examination, but neither portion can be considered in depth independent of the other.

The basic elements of the narrative portion of the *Administrative Management Plan* may seem obvious, but the simplicity is deceptive. For example, an articulation of a departmental mission by the director may reveal an inappropriate attitude concerning role. During the preparation of the first plan few statements of mission reflected major concern with issues of service quality and cost effectiveness, and thus indicated those departments which did not have a sound perception of their role within the Harvard community. Conspicuous omissions from the narrative statements may be as significant as those points made.

Narrative Elements of the Plan

The following discussion includes a brief description of each of the narrative elements of the *Administrative Management Plan*, with a sample departmental statement for each element.

Mission is a concise statement of one sentence defining the department's function within the university context, such as the following:

> . . . to provide the services necessary for the management of the physical plant of Harvard Radcliffe maintaining standards of quality consistent with the needs and wishes of the several faculties served in the most economical manner possible.
>
> (Buildings and Grounds)

Scope of Departmental Activities refers to a broader statement of function highlighting factors of manpower and fiscal resources, for example:

In 1971 Mr. Stephen S. J. Hall became Vice President for Administration at Harvard University, where his responsibilities include the functions of housing, food services, buildings and grounds personnel, purchasing, and campus police and security. He is currently instrumental in introducing management and cost-control procedures into this broad range of administrative services. Formerly an executive with the ITT Sheraton Corporation, Mr. Hall directed operations support for one of the largest hotel chains. He remains active in the American Hotel and Motel Association, where he is chairman of the Management Information Systems Task Force. Mr. Hall has already made significant contributions to the work of NACUBO and the Eastern Association, including participation in the programs of the 1973 NACUBO Annual Meeting and the 1973 EACUBO Workshop. He received his B.S. degree from Cornell University and his M.B.A. degree from Michigan State University.

> The Harvard Food Services Department is broken down into two broad areas: Undergraduate and Graduate. It includes both the food services of Harvard and Radcliffe. *Undergraduate*—The Harvard portion of the Undergraduate food services includes ten House dining facilities plus the Harvard Freshman Union, which includes the Harvard Varsity Club. . . . In the Undergraduate area there are 365 full-time-equivalent employees and 48 administrative employees. The Undergraduate budget for fiscal 1972-73 is $5.5 million. . . . *Graduate*—At Harvard this area includes the food facilities of the Business School (student, faculty . . .), the Medical School (student, faculty . . .). . . . Each of the Graduate facilities sets its own rates and policies. Each is financially autonomous and is responsible for its own profit and loss. Employed in these facilities are 114 full-time-equivalent hourly-paid employees and 30 administrative employees. The total budget for these facilities for fiscal 1972-73 is $2.2 million.
>
> (Food Services)

Assumptions represent the underlying conditions affecting the creation of the management plan and contingencies with which the department will have to contend in the course of operation, each presented with a percentage probability of its occurrence such as the following:

> 100 percent—that the number of buildings serviced will increase with the completion of Gutman Library, Gund Hall, Science Center, Perkins Building and the Broadway Garage.
>
> (Buildings and Grounds)

Future Impacts are the anticipated circumstances or actions beyond the department's operational scope which may have an adverse effect on the achievement of objectives. Where appropriate, each statement includes an identification of that organization or individual which may control the impact. For example, the following statement would include the identification of "Blue Cross—Blue Shield":

> The passage of National Health Insurance will require reshaping of medical care services offered to faculty and staff. . . .
>
> (Personnel)

Objectives are statements of departmental goals for the budget year and succeeding plan years which are readily identifiable and the progress toward which is trackable through the milestone program. There may be less finite goals cited such as those in the areas of communication or improvement of staff morale, but the intent is to determine specific quantitative objectives, as represented in the following:

> To expand Purchasing's volume of University procurement potential to 85 percent.
>
> (Purchasing)

The standard elements of the narrative entitled *The Year in Review* and *Summation* are generally too lengthy to be reproduced here and would not if excerpted give an accurate picture of the directors' use of these sections. The elements are included to afford the flexibility requisite to a complete statement and evaluation of a department's activities.

Financial Elements of the Plan

The basic exhibits which form the financial portion of each plan number eleven. These are charts and graphs detailing organization, manpower schedule, affirmative action, annual operating budget, monthly operating budget for the fiscal year, analyses of budgetary control (see Figure I), statement of reserves, and milestone program. Again, the departments retain the option to include exhibits of a singular nature

pertinent to their operations. Figure II represents an inclusion of this nature.

HARVARD UNIVERSITY
ADMINISTRATIVE MANAGEMENT PLAN 1973
ANALYSIS OF BUDGETARY CONTROL
FY 1973

ADMINISTRATIVE DEPARTMENTS
(000's)

1971-72 Budgeted Expense	$35,675.4	
Add:		
Inflation Increase—1972-73	1,783.0	
Change in Scope[1]: 1972-73		
Increase	4,071.0	
(Decrease)		
Total		$41,529.4
Less—1972-73 Budgeted Expense		40,727.1
Efficiency Savings[2]		802.3

[1]Description of Scope Change(s)

Absorption of Radcliffe College ($1,408); New Buildings ($1,300); Change in accounting control of outside utility charges ($832); Additional Business ($78); New charge for University Assessment ($65.0); Increased Interest Expense ($18); Absorption of Medical School Personnel Office ($97); Increased Computing charges ($29); New charge for Real Estate Office ($80); Increased manpower for Police coverage ($150); Increased Commission expense ($14).

[2]Description of Efficiency Savings

Conversion to Technical Impex; more effective production methods; closing of Freshmen Union on weekends; "systems" control of utility consumption; economies realized via merger with Radcliffe.

FIGURE I

A standard element of this portion of the plan requiring special attention is the multiple exhibit which comprises the milestone program. Each *Objective* stated in the narrative generates a document of one page indicating interim targets and dates of anticipated achievement. All of the milestone charts derived from the *Objectives* are included in each departmental plan. Thus a system for monitoring progress toward stated goals is implicit in the planning process and contained within the planning documents. The commitment made to the achievement of these objectives is substantial as the goals are determined by the director and it is he who sets the target dates of achievement.

Negotiating the Departmental Plans

The procedures followed prior to the publication of the *Administrative Management Plan* are really more important to Management Planning concepts than the written plan itself. The format for the written plan is a given; the responsibility to define, analyze and project departmental operations for the five-year span rests solely with the director of each department.

Upon preparation of the final draft of each plan the director meets with the vice president for administration to discuss the content and presentation of both the narrative and financial portions. This process of negotiation generally runs concurrent with the university-wide budgeting time, but no constraints are placed upon the director with regard to the point at which he chooses to begin work on his department's plan. The compilation and presentation of the departmental plan does not necessarily insure its acceptance during the first negotiation session. Rather, several sessions may be required to refine the plan of each department to a point at which the director and the vice president for administration are in full agreement with regard to its form and content. It is truly a

HARVARD UNIVERSITY
ADMINISTRATIVE MANAGEMENT PLAN
FY 1974
MAN HOURS PER 100 MEALS SERVED
FOOD SERVICES

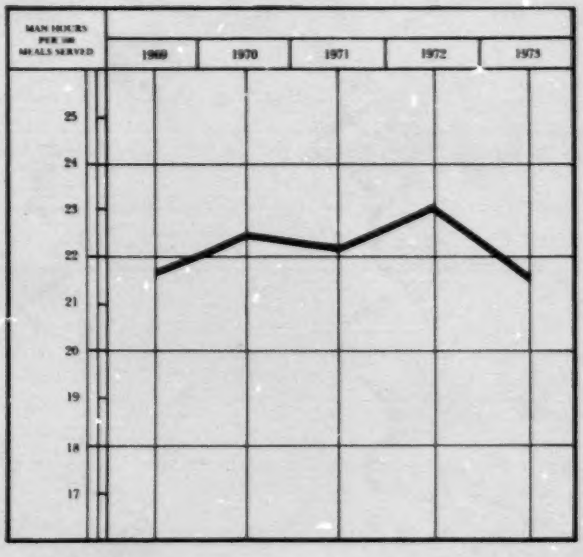

FIGURE II

process of negotiation, and the final draft as presented must be regarded as a proposal made by the director complete with all necessary supportive material. The role of the vice president during the sessions is frequently that of advocate, identifying issues contained within the plan and arguing for or against the method of handling these issues suggested by the director. The product of this process—a system frequently characterized by sustained tension—is the refined plan, in accordance with which the director will manage for the coming year. In cases where there is contention over certain issues in the plan, it would be inappropriate to assume that either the director or the vice president "win" or "lose," for the objective shared at the start of each session of negotiation is the production of the finest departmental plan possible. Compromise, on the other hand, is a fact with which all involved are familiar.

Ideally, the drafts of the plans are submitted to the office of the vice president for administration well in advance of the review sessions; unfortunately, this is not always the case. Preliminary evaluations by the vice president and his staff are helpful insofar as they provide a basic familiarity with each plan prior to review, facilitating the posing of the most cogent and relevant questions to each director. The exchange characteristic of these sessions is intended to be a creative process which yields the best possible operational plan for each department. It is true, however, that the burden of proof lies with the director; he must defend and support every element of the plan before it is accepted, for his commitment to its success is the foundation of Management Planning.

The Five-Year Vice Presidential Plan

The final *Administrative Management Plan* as it is published includes the five-year plan of the vice president as well, in format identical to that of the departmental plans. To a considerable extent, the vice presidential plan cannot be prepared until all of the others have been successfully negotiated. However, the general outline is determined well in advance of the submission of the departmental plans. It is the responsibility of the vice president to determine the direction of the administrative departments and to identify the broad objectives. It is the responsibility of each director to design his plan in conformance with these goals. A major objective of all departments at Harvard University for 1973-74 is the final codification, assembly and publication of manuals of administrative policies and procedures. Consequently, prior to drafting the departmental plans, each of the directors was informed of this goal and it appears as an objective in each of the individual plans.

The *Administrative Management Plan* outlines and details projected operations for the ten departments. The vice presidential plan provides the outline for administrative operations for the five-year period while the departmental plans cover the detailed aspects. Included in the published volume as well are an introductory statement and overview written by the vice president for administration and directed to the president and fellows of Harvard College. The plan is first distributed to this group in the spring. Distribution beyond the governing body of the university is not standard, but copies are forwarded to those in the community who express an interest in the process. Thus the written plan becomes a communication tool and an integral part of the planning process.

Continuing Channels of Communication

Presentation of the plan to the president and fellows of Harvard College does not signal the end of planning activity until the following year. On the contrary, submission and acceptance of the plan begins the processes intended to carry out the stated commitments. One of the ongoing activities has already been outlined in the discussion of the milestone programming and the monitoring effort. Fiscal activity is monitored on a monthly basis in conjunction with the submission of management letters by each of the directors to the vice president. These monthly letters, limited to two pages in length, are to include statistics regarding income and expenses, budget versus actual, for the preceding month, critical indicators affecting progress toward objectives and any other salient issues the director wishes to identify regarding his department's operation. These letters are assembled in the vice president's office, a cover letter is prepared highlighting various points raised by individual directors, and the package is forwarded to the president. This is another channel of communication maintained through the planning process; each department director has access to the president on a regular basis.

Indeed, one of the objectives of Management Planning which cannot be overemphasized is the reinforcement of channels of communication, both among the department directors and between the departments and the faculties. Weekly meetings of one hour are held in order to provide a forum for the department directors to exchange ideas and to raise points of common interest. Each director is encouraged to bring another member of his department, generally the second individual in the organizational scheme, in order to insure a broader range of comment and contribution. These meetings basically are conducted without an agenda, as experience has taught that this is the best means to elicit individual participation.

Within the context of the weekly meetings, specific sessions on topics of concern are occasionally scheduled. One such session was devoted to a presentation by the manager of benefits in the personnel office detailing the changes in pension plans recently instituted at the university. On another occasion a noted professor of labor relations at the Harvard Business School was invited to address the group on theories and practices of progressive discipline in dealing with both organized and individual staff. A third session was given to a presentation of training films produced by an employee of buildings and grounds. For approximately $50 beyond the cost of the initial investment in the equipment, this employee had produced a coordinated tape and slide program to be shown as a part of the department's orientation for new employees. The program had been such a success that he had been urged to produce other films of a training nature. Following the showing of two programs which dealt with the performance of caretaking tasks, a discussion began regarding the methodologies of training from the task level to the "soft skills" of supervisory and managerial techniques. Representatives of the departments exchanged their personal experiences with training programs, staff responses to the undertakings, and general comments on the approaches used. The object of the discussion was not the uniform adoption of any particular approach to employee training. Rather, as with all of the meetings, the intent was the stimulation of an exchange of ideas and a discussion of the material presented.

Although monthly meetings are held between the vice president and the council of administrative deans of the faculties, the interaction between the department directors and the deans has been generally erratic. In a move to strengthen the channels of communication between the deans and the directors, a program has been initiated by which each faculty dean will be invited to attend one of the weekly meetings of the directors. Again, there will be no formal agenda in hopes that the open forum approach will be more productive. The departments are in contact with the faculties on a daily basis, but the communication is limited to telephone calls and paperwork. The objective of this program is to provide the opportunity for individuals to interact on a personal basis with regard to topics of mutual concern.

This aspect of increased and strengthened communications is an integral part of the body of concepts of Management Planning. The statement and commitment made in the departmental management plan is the basis of operation for the year; however, the commitment would be undermined without proper follow-up and feedback. The university is a dynamic organization and it would be naive to assume that the conditions which prevail at the time the management plan is prepared would necessarily prevail throughout the year.

Flexibility and Adaptability in Management Planning

Management Planning is not a finite body of concepts and practices. When appropriate, new procedures may be added to the process. This year, for example, a new program has been introduced into five of the ten departments called Plan Year II Revisited. Again, the areas of concern are functional analysis, evaluation and communication of findings. The management plans of the five departments were accepted and published for 1973-74, but the program is designed to focus on the projections made for 1974-75 such that the preparation of next year's plan may reflect an even more compact organization and efficient operation. The departments participating in this program were selected for different reasons: the operational scope of one will expand substantially during the next year, the scope of another appears to be leveling off, and the structure of a third has been significantly reorganized during the past year. The ground rules for the study were communicated to all participating directors, and the approach to be taken and the results are ultimately the responsibility of each. The program is another facet of the importance of follow-up on the submitted plans. Each management plan cannot be regarded as a static document. Rather, it is a tool with which the director guides the operation of his department, and the options are largely his with respect to the use made of the tool.

The Team Approach to Planning

In a broad discussion of the application of Management Planning theories and practices to the administrative service departments of Harvard University, it is rather easy to identify those aspects which are regular and tangible. One can simply point to the volumes of the *Administrative Management Plan* and indicate that they tell the whole story. One can outline the procedures used to monitor the progress of the departments toward their objectives. One can cite the various mechanisms instituted and maintained to encourage communications among departments and the faculties. However, all of the facets of the planning process, as well as many of the results, do not lend themselves to this form of examination and definition as easily. The attitudes of the directors are frequently difficult to assess; the level of enthusiasm for the process is often hard to quantify. One indicator is the ease of preparation of the departmental plans. The assembly of Volume II was certainly a much smoother

process than the first exercise. To some extent this facility is a direct function of an acquired knowledge of the routine. However, to attribute the change in experience entirely to a familiarity with the mechanics would assume that the climate of opinion among the directors is still characterized by reluctant cooperation, and this is not an accurate reflection of the level of participation.

Management Planning supports the sense of a team effort in working toward specific goals while preserving the integrity of each departmental unit. It provides the means by which the directors of the departments may take the initiative in determining modes of operation. They are no longer forced into the position of merely reacting to new demands and circumstances. Receptivity to innovation, conception and implementation of new ideas and an increased ability to serve the community are palpable results of the planning process.

AUTHOR'S NOTE: *Representatives of other colleges and universities have visited the Harvard campus to obtain further information and to witness the Management Planning system in operation. The Harvard staff is willing to meet with administrative officers of educational institutions who have a definite interest in the inner workings of the planning process. For further information, contact Miss Elin Youngberg, Assistant to the Administrative Vice President, Room 450 Holyoke Center, Massachusetts Avenue, Cambridge, Massachusetts 02138. Miss Youngberg has made a significant contribution to this program, and her assistance in gathering information for this paper is gratefully acknowledged.*

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